# 4.11 AUDIT TRAIL

## Introduction

The Audit Trail screens allow you to:

- ➤ View changes made to an item record for a specified ID
- ➤ View changes made to item records for multiple IDs during a specified time period (i.e., 1/1/98 2/1/98)
- ➤ View changes made to control information for a specified ID
- ➤ View changes made to control information for multiple IDs during a specified time period (i.e., changes made between 1/10/98 and 1/17/98)

There are 2 types of audit trails: Item and Control. The Item audit trail tracks changes made to data in the survey item file. The Control audit trail tracks changes made to control information in the survey control files (Master, Stat period, and Survey-specific).

Each time a change is made to either the item or control files, a record of the change is added to the item/control audit trail.

For each type of audit trail (item and control), there are 2 audit trail screens: Audit by ID and Audit by Date. The Audit by ID screens allow you to access the audit trail for a specific ID. The Audit by Date screen allows you to access the audit trail for multiple IDs for a specified time period. The Audit Trail screens are read-only.

## **Accessing the Screen**

- ! Click on the REVIEW AND CORRECTION button from the StEPS Main Menu.
- ! From the Review and Correction Main Menu, choose a selection set to process. (See Chapter 4.1 for more information on accessing and creating selection sets.)
- ! Select the GOTO pmenu option.
- ! Select the "Item Data" option to access the Item Audit Trail; select the "Control" option to access the Control Information Audit Trail.
- ! Select "Audit by ID" to access the audit trail for a specific ID; select "Audit by Date" to access the audit trail for a specified time period.

NOTE: YOU MAY ALSO ACCESS THE AUDIT TRAIL SCREENS FROM ANY OF THE OTHER REVIEW AND CORRECTION SCREENS BY USING THE GOTO PMENU OPTION.

## **Screen Features**

Each of the 4 audit trail screens contains a Header. The following fields are common to each:

#### **SURVEY**

- ! Displays default survey currently being processed.
- ! Field not correctable.
- ! To change the survey, you must access the Survey Selection screen from USER SETUP (See Chapter 1.1).
- ! Click on the survey field to display the survey name.

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#### **STAT PERIOD**

! Displays default stat period currently being processed.

- ! Field not correctable.
- ! To change the stat period, you must access the Survey Selection screen from USER SETUP (See Chapter 1.1).

# **SELSET**

- ! Displays the filename of the selection set currently being processed. (See Chapter 4.1 for more information regarding selection sets.)
- ! Click on the SELSET field to display a description of the selection set.
- ! Field not correctable.
- ! To access a different selection set or create a new one, return to the Review and Correction Main Menu.

#### 4.11.1 ITEM AUDIT BY ID

The Item Audit by ID screen allows you to view item changes for a specified ID. You may choose to view all stat period changes or only those for the current stat period.

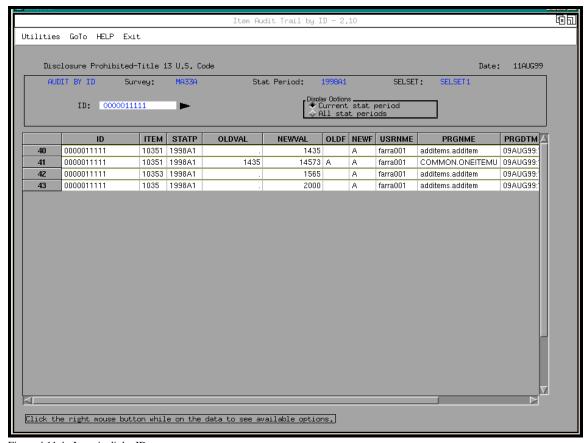


Figure 4.11.4 Item Audit by ID

- ! Select an ID to review by:
  - 1. Keying an ID in the ID field and pressing <ENTER>.
  - 2. Clicking on the arrow in the ID field to bring up an ID pick list of all IDs in the selection set.
    - ! ID and NAME1 will be displayed in the pick list in ascending ID order.
    - ! The vertical scroll bar on the right side of the pick list will allow you to scroll through IDs in the selection set.
    - ! Choose an ID by clicking on it with the mouse.
    - ! Perform searches to find a particular ID by clicking on the FIND button. You will be prompted to enter a string (partial ID). Click on "OK". The ID pick list will display, beginning with the 1<sup>st</sup> occurrence of the ID matching the string entered.
- ! Select the "Current stat period" option to display item data changes for the current stat period only.
- ! Select the "All stat periods" option to display item data changes for all stat periods.
- ! Fields displayed in the Item Audit by ID screen include the following:

SURVEY Survey name STATP Statistical period

ID Case ID

ITEM Item code/mnemonic
OLDFLAG Data flag before change
NEWFLAG Data flag after change
OLDVAL Value of item before change
NEWVAL Value of item after change

USRNME Name of user who made the change PRGNME Name of program to update the value PRGDTM Date/time the update took place

- ! The sort for the data display is: Item by Stat Period by Date.
- ! Click on the right mouse button to access additional options for the screen:
  - 1. Select the "Where" option to access the StEPS Standard Where Clause screen to further limit the output displayed.
  - 2. Select the "Print" option to print the table.

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You can adjust the column width by positioning the cursor on the column heading cell and dragging the column outward or inward.

#### 4.11.2 ITEM AUDIT BY DATE

The Item Audit by Date screen allows you to view item changes for a specified time period for multiple IDs. You may choose to view all stat period changes or only those for the current stat period.

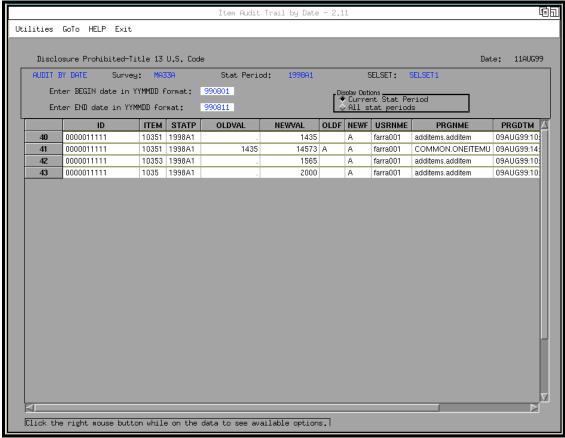


Figure 4.11.2 Item Audit by Date

- ! Enter a beginning date in YYMMDD format. (i.e., March 1, 1997 970301)
- ! Enter an ending date in YYMMDD format (i.e., March 7, 1997 970307)
- ! To display the audit trail for a specific date, enter the same date in both the beginning and ending date fields.
- ! The sort for the data display is: ID by Item by Stat Period by Date
- ! The remaining screen options and display features are identical to that of the Item Audit by ID screen. See Section 4.11.1.

#### 4.11.3 CONTROL AUDIT BY ID

The Control Audit by ID screen allows you to view changes made to control information for a specified ID. You may choose to view all stat period changes or only those for the current stat period.

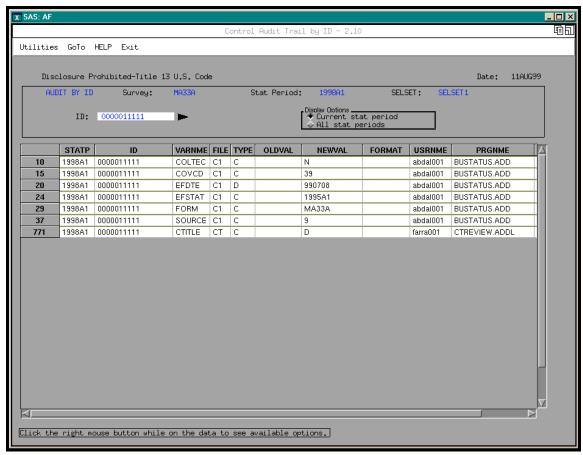


Figure 4.11.3 Control Audit by ID

# ! Select an ID to review by:

- 1. Keying an ID in the ID field and pressing <ENTER>.
- 2. Clicking on the arrow in the ID field to bring up an ID pick list of all IDs in the selection set.
  - ! ID and NAME1 will be displayed in the pick list in ascending ID order.
  - ! The vertical scroll bar on the right side of the pick list will allow you to scroll through IDs in the selection set.

- ! Choose an ID by clicking on it with the mouse.
- ! Perform searches to find a particular ID by clicking on the FIND button. You will be prompted to enter a string (partial ID). Click on "OK". The ID pick list will display, beginning with the 1<sup>st</sup> occurrence of the ID matching the string entered.
- ! Select the "Current stat period" option to display control information changes for the current stat period only.
- ! Select the "All stat periods" option to display control information changes for all stat periods.
- ! Fields displayed in the Control Audit by ID screen include the following:

Curvey name

SURVEI	Survey hame
STATP	Statistical period
ID	Case ID
VARNME	Control variable name
FILE	Indicates the file in which the control variable is located (CT - Master Control,
	C1 - Stat Period Control, C2 - Survey Specific Control)
TYPE	Indicates the type of value stored for the variable (N - numeric, C - character, D
	- date)
OLDVAL	Value of variable before change
NEWVAL	Value of variable after change
EODMAT	Format used for numeric value or dates

FORMAT Format used for numeric value or dates
USRNME Name of user who made the change
PRGNME Name of program to update the value
PRGDTM Date/time the update took place

- ! The sort for the data display is: Varnme by Stat Period by Date.
- ! Click on the right mouse button to access additional options for the screen:
  - 1. Select the "Where" option to access the StEPS Standard Where Clause screen to further limit the output displayed.
  - 2. Select the "Print" option to print the table.

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! You can adjust the column width by positioning the cursor on the column heading cell and dragging the column outward or inward.

## 4.11.4 CONTROL AUDIT BY DATE

The Control Audit by Date screen allows you to view changes to control information for a specified time period for multiple IDs. You may choose to view all stat period changes or only those for the current stat period.

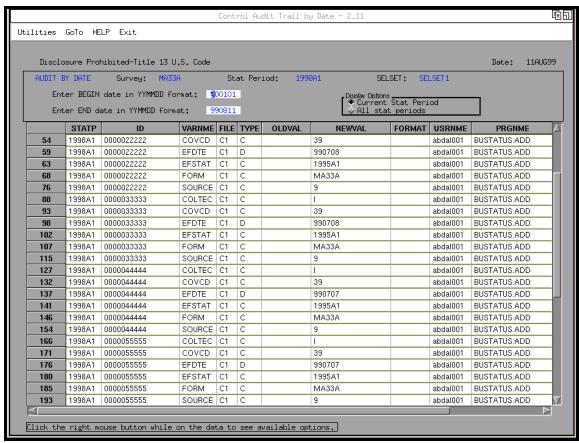


Figure 4.11.4 Control Audit by Date

- ! Enter a beginning date in YYMMDD format. (i.e., March 1, 1997 970301)
- ! Enter an ending date in YYMMDD format (i.e., March 7, 1997 970307)
- ! To display the audit trail for a specific date, enter the same date in both the beginning and ending date fields.
- ! The sort for the data display is: ID by Varnme by Stat Period by Date
- ! The remaining screen options and display features are identical to that of the Control Audit by ID screen. See Section 4.11.3.

# P-Menus

P-Menu	Options	Function
UTILITIES	Next ID (F5) <sup>1</sup> Previous ID (F4) <sup>2</sup> Next page (PgDwn) Previous page (PgUp) Print	Access next ID in selection set Access previous ID in selection set Access next screen of data Access previous screen of data Print Audit Trail screen <sup>3</sup>
GOTO	Control Data Control Information Collection History Mail Group Status Changes Audit Trail Control Audit by ID Control Audit by Date  Item Data ID by Item ID by Item2 ID Matrix Historical Data Audit Trail Item Audit by ID Item Audit by Date	Access Control Information screen for selected ID Access Collection History screen for selected ID Access Mail Group screen Access Status Changes screen for selected ID Access Control Audit by ID screen for selected ID Access Control Audit by Date screen  Access ID by Item screen for selected ID Access ID by Item2 screen Access ID Matrix screen for selected ID Access Historical Data screen for selected ID Access Item Audit by ID screen for selected ID Access Item Audit by Date screen
	Respondent Text Notes	Access Respondent Text screen for selected ID  Access Notes screen for this ID
HELP	Audit Trail Help (F1) Function Keys WhoamI (F7)	Display HELP information on using the Audit Trail screen Display list of function keys and corresponding descriptions Display user default and systems information
EXIT	StEPS Main Menu (Home) Exit (F3)	Return to StEPS Main Menu Exit to previous screen

<sup>&</sup>lt;sup>1</sup> Option available on Audit by ID screens only.

 $<sup>^{2}</sup>$  Option available on Audit by ID screens only.

<sup>&</sup>lt;sup>3</sup> Selecting the 'print' option will access the SAS Output window. Click on the 'File' pmenu and select the 'Print' option. The SAS Print screen will display. Click on the 'Print' button. Close the SAS Output window.